



# 04-30-03

11-28-03 CW

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

EV 253467107 US

Application No.: 10/064,745 Filing Date: August 12, 2002 Confirmation No.: 6610

Group Art Unit: 3624

**Attorney Docket No.: MLCO.P002** 

# INFORMATION DISCLOSURE STATEMENT RECEIVED

Assistant Commissioner for Patents Washington, D.C. 20231

merits.

MAY 0 2 2003 GROUP 3600

Applicant requests that the references cited on the attached substitute form 1449 be

No fee is believed to be due with this paper as we have not received an action on the

included in the record of the above-referenced patent application. A copy of each reference is

Respectfully submitted,
OPPEDAHL & LARSON, LLP

Carl Oppedahl, PTO Reg. No. 32,746

P.O. Box 5068

Dillon, CO 80435-5068

970-468-6600

	achments named herein are being deposited with the United States Postal addressed to Commissioner of Patents and Trademarks, Washington, D.C. by
Date of Signature	Signature



### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

RECEIVED

MAY 0 2 2003

**GROUP 3600** 

Application No.: 10/064,745 Filing Date: August 12, 2002 Confirmation No.: 6610

Group Art Unit: 3624

**Attorney Docket No.: MLCO.P002** 

## Page 1 of 2

Examiner's Initials	OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS
	Bryant, Julie: "Open enrollment draws questions over choices"; Atlanta Business Chronicle: April 28, 2000
	Kollewe, Julia: "IRS APPROVES BOND PRODUCT CRITICIZED AS TAX DODGE, WSJ SAYS"; Bloomberg L.P., Bloomberg News: May 7, 2002, Tuesday 4:46 AM Eastern Time
	Fujita, Junko and Sheldrick, Aaron: "ORIX SELLS \$350 MILLION OF BONDS CONVERTIBLE TO STOCK"; Bloomberg L.P., Bloomberg News: May 28, 2002, Tuesday 11:14 PM Eastern Time
	Hahn, Avital Louria: "Amid Underwriting Blues, Merrill Sings A Merry Tune in Zero Convert Market: Firm earns \$112 million-plus in one day on a pair of jumbo zeros"; Investment Dealers' Digest: IDD PP: 3-4 Nov 20, 2000 ISSN: 0021-0080
	EIU ViewsWire: "USA finance: Good news for 'coco' buffs"; The Economist Intelligence Unit Ltd.: July 25, 2002
	Silverman, Gary: "Wall Street high on volatile alchemy: STOCK OPTIONS: Companies have created a source of low-cost funding from the volatility of shares but this entails risks, says Gary Silverman; The Financial Times Limited, Financial Times (London): June 15, 2001, Friday London Edition 1
	Farr, Lucy: "Contingent Convertibles"; Practical U.S./International Tax Strategies: 13 Feb 2002
	"THE 2001 DEALS OF THE YEAR"; Corporate Finance; Pg. 72: Euromoney Institutional Investor PLC; Institutional Investor: January, 2002
	Springsteel, Ian: "The Convert Boomerang"; Securities Data Publishing; Investment Dealers Digest: March 11, 2002
	The Investing Guys: "Contingent Convertibles - CoCos"; <u>www.investopedia.com</u> : July 28, 2002
·	The Investing Guys: "To Convert Or Not To Convert"; www.investopedia.com: July 28, 2002
	LJH Global Investments HedgeView, Perspectives on Absolute Return Strategies, September 2001, Pg. 2 Col. 3
	"Medtronic Announces Sale of 1.25 percent Contingent Convertible Debentures Due 2021"; Medtronic New Release, <a href="www.medtronic.com">www.medtronic.com</a> : July 28, 2002

PR 2 9 2003 &	-
PADEMARK OFFICE	Stempel, Jonathan: "UPDATE: Medtronic Sells \$1.75 Billion Convertible Bonds"; Reuters: Sep 6, 2001
	"DESCRIPTION OF ABC SECURITIES"; Merrill Lynch, July 29, 1991
	"ARTICLE 11 CONVERSION"; Indenture, October 1, 1989
	"Part I Section 1275Other definitions and special rules 26 CFR 1.1275-4: Contingent payment debt instruments. (Also §§ 163, 249; 1.249-1.) Rev. Rul. 2002-31
	Offering Memorandum, Tyco, Liquid Yield Option Notes, November 14,2000
	Offering Memorandum, SPX Corporation, Liquid Yield Option Notes, January 31, 2001
	Offering Memorandum, Danaher Corporation, Liquid Yield Option Notes, January 17, 2001
	WO 03/013875 Published February 20, 2003

This Information Disclosure Citation List is being submitted as a substitute for Form PTO-1449. The Examiner is requested to place his or her initials on the lines adjacent to the citations to indicate that the reference has been considered. The Examiner is further requested to fill in his or her name and the date the information was considered in blocks at the bottom of this substitute for Form PTO-1449.

WO 03/014885 Published February 20, 2003

WO~03/014886~Published~February~20,~2003

WO 03/023554 Published March 20, 2003

Examiner	Date Considered	

RECEIVED
MAY 0 2 2003
GROUP 3600